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UNITED NATIONS FRAMEWORK CONVENTION ON CLIMATE CHANGE

Subsidiary Body for Implementation
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Item 12(a) and (b) of the provisional agenda
Capacity-building
Capacity-building under the Convention
Capacity-building under the Kyoto Protocol

Views on specific issues to be considered at the 3rd meeting of the Durban Forum and on its organization, and information on activities undertaken to implement the framework for capacity-building in developing countries

Submissions from Parties

1. The Conference of the Parties, by decision 4/CP.12, paragraph 1(a), invited Parties to submit to the secretariat, annually, information on the activities that they have undertaken pursuant to decisions 2/CP.7 and 2/CP.10.

2. The Conference of the Parties serving as the meeting of the Parties to the Kyoto Protocol, by decision 6/CMP.2, paragraph 1(a), invited Parties to submit to the secretariat, annually, information on the activities that they have undertaken pursuant to decision 29/CMP.1. It also invited relevant multilateral and bilateral agencies and the private sector to provide reports documenting their support of the implementation of the framework for capacity-building in developing countries undertaken pursuant to decision 29/CMP.1.

3. The Subsidiary Body for Implementation (SBI), at its thirty-ninth session,[1] invited Parties to submit to the secretariat, by 26 February 2014, their views on specific thematic issues relating to capacity-building under the Convention in developing countries to be considered at the 3rd meeting of the Durban Forum on capacity-building, to be held during SBI 40. It also invited them to submit their views on the organization of that meeting.

[1] FCCC/SBI/2013/20, paragraph 143.

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4. At the same session, the SBI invited Parties to submit to the secretariat, by the same date, their views on specific thematic issues relating to capacity-building under the Kyoto Protocol in developing countries to be considered at the same meeting of the Durban Forum on capacity-building. It also invited them to submit their views on the organization of that meeting.[2]

5. The secretariat has received three such submissions from two groups of Parties.[3] In accordance with the procedure for miscellaneous documents, these submissions are attached and reproduced* in the language in which they were received and without formal editing. In order to reduce paper consumption, the annex to the submission included in paper no. 1 is available online only.

[2] FCCC/SBI/2013/20, paragraph 147.

[3] Available at <www.unfccc.int/5902>.

* These submissions have been electronically imported in order to make them available on electronic systems, including the World Wide Web. The secretariat has made every effort to ensure the correct reproduction of the texts as submitted.

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* This submission is supported by Bosnia and Herzegovina, the former Yugoslav Republic of Macedonia, Montenegro and Serbia.

Paper no. 1: Greece and the European Commission on behalf of the European Union and its member States

SUBMISSION BY GREECE AND THE EUROPEAN COMMISSION ON BEHALF OF THE EUROPEAN UNION AND ITS MEMBER STATES

This submission is supported by Bosnia and Herzegovina, the Former Yugoslav Republic of Macedonia, Montenegro and Serbia

Athens, 21 February 2014

Subject: **Capacity-building under the Convention (SBI) (ANNUAL)**
Capacity-building under the Kyoto Protocol (SBI) (ANNUAL)
Organization of the third meeting of the Durban Forum on Capacity-building

1. This submission presents an overview of EU activities to support and enhance the capacities of partner countries to address climate change and effectively participate in the Convention process. The activities presented in the Annex particularly address capacity-building in the context of assessing and implementing mitigation and adaptation measures as well as to create enabling environments (including climate finance readiness), These selected areas from the capacity-building framework bring developing countries into a better position towards preparing for the 2015 Agreement. The submission presents an overview of the approach the EU takes on capacity-building, its experiences and lessons learnt. The submission also includes the EU proposals on the topics that could be covered by the Durban Forum during its next session in Bonn in June 2014.

EU approach to capacity building

2. The EU supports efforts to enhance capacities to address climate change in the broader context of sustainable development in developing countries across all regions and sectors of the economy and at the regional, national and subnational levels. These activities address inter alia, greenhouse gas inventory preparation, the assessment and elaboration of options to mitigate greenhouse gas emissions, vulnerability assessment and the development of appropriate adaptation approaches, the development, deployment and adaptation of relevant technologies, e.g. in the energy sector, sustainable land use planning and the development of legislative frameworks to facilitate and foster investment and access to finance. An indicative list of activities supported is included in the Annex to this submission. These activities are not only relevant to the promotion of climate-resilient and low carbon development, but also have a **direct relevance to the ongoing efforts that countries are undertaking to define their contributions in the context of the new climate agreement.**

3. The EU regards capacity-building as **fundamental** to enable the full, effective and sustained implementation of the Convention. Capacity building is by nature a **cross-cutting issue,** therefore the EU considers a strong capacity building element to be a substantial and integral part of all development activities, including those that aim to enhance mitigation, adaptation and facilitate access to support in developing countries. Building on its extensive experience in the area of development cooperation, the EU strives to support country-driven and comprehensive activities that strengthen national capacities, combined with relevant qualitative and quantitative methods for monitoring its impact, when appropriate.

4. The EU's support for capacity building is not based on a global top-down approach, but builds on a bottom-up approach on each country's situation and links capacity-building to **context specific** needs and challenges. In addition, the EU's financial and technical support aimed at building capacities provided through various channels, including bilateral, multilateral and private sector cooperation.

5. Capacity development is at the heart of the EU development cooperation[1], in line with the provisions of the Paris Declaration on Aid Effectiveness, the Accra Agenda for Action and the Busan Partnership for Effective Development Co-operation. In the same vein, EU's activities and support to address climate change in developing countries are based on and emphasize the importance of the principles of **national ownership**, stakeholder participation and accountability, country-driven demand, harmonisation and alignment with country objectives and goals. Furthermore the EU strives for cooperation and synergy with other initiatives, and, in close collaboration with the partner countries, to undertake impact assessment and monitoring (when appropriate) to assess the effectiveness and progress made.

6. The annex to the current submission includes a non-exhaustive list of EU capacity building activities on 1) the assessment of mitigation options in the context of pre- and post-2020 mitigation ambition/targets, with a particular focus on the preparation of contributions to mitigation efforts in the context of the 2015 Agreement, 2) the enhancement and/or creation of enabling environments, including to access funding, and 3) the implementation of adaptation measures.

Lessons learnt:

7. Based on the experiences of undertaking and supporting activities to enhance capacities in partner countries, the EU would like to highlight some of the key lessons learnt.

a) **National ownership and leadership.** Lasting positive impact of capacity-building support is highly dependent on the active engagement and participation of national institutions. Moreover, capacity-building projects should be designed, managed and monitored in close cooperation with local partners, e.g. national institutions and focal points, local private sector and civil society stakeholders. This serves the double purpose of ensuring that capacity building activities meet the needs and requirements of the partner country, while at the same time safeguarding and extending the positive impact of the capacity development activities.

b) **Cross-cutting issue.** Capacities can be developed in a number of areas related to climate change and in a multitude of forms. A capacity-building element should always be included in the development phase of an assistance project. The EU adopts a far-reaching approach with regard to building capacities: almost every climate-related programme supported by the EU contains a robust capacity building component. Not only climate-related interventions need to include capacity building, it is also essential to integrate climate change risks and opportunities in national systems and sector policies in areas such as energy, infrastructure, agriculture, health and finance. This is another dimension in the cross-cutting nature of capacity-building related to climate change.

c) **Iterative application.** For robust results, capacity building requires sustained engagement. A flexible approach building on already acquired competences and adaptive to changing national and local circumstances should be employed. A long-term capacity building engagement should include an internal evaluation and re-evaluation of capacity development needs, the identification of gaps, goals setting and the monitoring of progress towards their achievement at the national level. Interventions that are limited in time and scope to demonstrate new technologies, assess opportunities, etc., are most effective if undertaken in the context of a broader framework and if they engage local stakeholders who can continue and sustain the effort in the longer term.

d) **Monitoring and Evaluation:** Due to the fact that almost all development activities undertaken by the EU and its Member States include at least one capacity building component and given the high number and large volume of development programmes supported, it is difficult to estimate the full extent of financial support provided explicitly for the purposes of capacity-building relevant to climate change. Furthermore, since EU support is partner country-driven, more detailed information would be needed from partners in order to draw the complete picture of capacity building support and activities, their effectiveness and their aggregate impact. This means that monitoring the activities is done in collaboration with partners, who provide information on their experiences, lessons learnt and the extent to which the activities and support provided respond to their needs. As such, monitoring the impact of measures to enhance capacity cannot be

[1] For more information on EU's approach to capacity development, please consult www.capacity4dev.eu.

addressed through a global or standard approach, but rather should be tailored to the specific circumstances and goals.

e) **Institutional development**. Development aid agencies from the EU and its Member States have gained strong experience in providing support to the strengthening or/and establishment of national climate change institutions, the preparation of national climate change plans and to encouraging engagement into the climate change negotiation process. Supporting national governments through projects and programmes with strong capacity- and institution-building components should lead to mainstreaming climate change into national public policies and regulatory frameworks. Clear political signals are a necessary condition to mobilize private sector capital and to raise social engagement with regard to climate change.

f) **Targeting appropriate stakeholders**. In order to ensure that capacity building activities have long lasting impacts, they need to reach the right persons and institutions. For example, adaptation in agriculture has to be implemented by government services with farmers and farmers' organisations. Capacity building actions has to be tailored to the particular needs of each type of stakeholder. In this regard, it is of particular importance to factor in the role of vulnerable groups as well as the gender dimension in tackling climate change. Women and vulnerable groups need to be targeted specifically, taking into account their roles and positions in society and that they often are on the front line when climate-related actions are to be implemented. It is true for adaptation, as women play a crucial role in agriculture or small livestock management, but it is true as well for mitigation action, for instance in relation to energy management such as fuel-wood for domestic use, adoption of improved stoves, etc. Additionally, capacity building is needed to strengthen their role in climate-related decision-making processes at all levels.

g) **Private sector engagement**. The private sector has a key role to play in steering the development of national economies onto sustainable, low-carbon pathways. Moreover, private sector engagement usually helps connect to regional and international markets and financing opportunities. Support to national institutions is therefore complemented by capacity-building activities for the private sector.

h) **Regional and global networking**. Many approaches to enabling adaptation, developing mitigation actions and accessing finance for climate actions are already available, albeit not necessarily within the country. Networking can reduce policy risks and avoid the costs of learning-by-doing, while at the same time providing suitable and timely solutions to specific challenges. However, in order to benefit and effectively contribute to the international exchange of best practices, a certain level of national institutional development is indispensable. The EU and its Member States are actively engaged in the development of global and regional partner networks and a number of programs provide assistance to developing countries interested in participating in those platforms.

i) **Use existing channels for information sharing and guidance** such as National Communications and Biennial Update Reports and submissions for collecting, exchanging and sharing of information. National Development Plans/Strategies and sectoral strategies as well as NAMAs, NAPs, REDD+ Strategies or Action Plans, Low Emission Development Strategies or Plans should guide capacity building efforts. The existing dialogue on development cooperation among partner countries should be effectively used for guiding the actual work.

Durban Forum

8. The EU considers that the first and second Durban Forum for in-depth Discussion on capacity building were very useful and successful as a way for Parties, relevant organisations and other stakeholders to share experiences and exchange ideas, best practices and lessons learnt regarding the implementation of capacity building activities. In this regard, the EU believes that future sessions of the Forum should continue to serve as a convening point for practitioners to present their experiences and lessons learnt.

9. In response to the request for views from Parties on specific topics to be considered at the 3rd meeting of the Durban Forum, the EU proposes the following areas extracted from scopes of the framework for capacity building in developing countries (Decision 2/CP.7):

   a) ***Assessment for implementation of mitigation options***: Governments have been striving to assess options for mitigation action since the adoption of the capacity building framework. As such, the Durban forum could consider the lessons learnt, challenges and opportunities to enhance capacities in

this regard. This would be particularly relevant to the ongoing efforts by countries to elaborate their contributions to global mitigation efforts pursuant to paragraph 2b of Decision 1/CP.19, the EU is already providing support to partner countries for the assessment and identification of appropriate mitigation options and will continue to work with partner countries, consistent with paragraph 2d of that Decision, to enable them to assess and identify appropriate mitigation options. Examples of support being provided are included in the Annex to this submission.

b) ***Enhancement and/or creation of enabling environment*** (including access to funding): Lessons learnt in the enhancement of enabling environments, within and across sectors, with the aim of facilitating access to support for climate change actions as well as to enable the integration of climate change considerations into relevant planning and strategies, is an area of particular interest for many countries. Enhancing an enabling environment to ensure an effective deployment of climate finance includes policy and regulatory frameworks as well as increased technical and institutional capacity to effectively absorb, channel and administer climate finance.

c) ***Capacity-building for the implementation of adaptation measures***: Adaptation measures are undertaken across many sectors and over long time periods affecting both incremental and more transformational changes. Increased efforts are needed to further develop capacities to assess vulnerabilities and climate change risks and to define and implement appropriate responses. Presentations from public and private sector practitioners could lend insight on how to further facilitate adequate adaptation in developing countries.

10. Relevant Convention bodies, such as the Technology Executive Committee, the Adaptation Committee and the Standing Committee on Finance, should also be invited to provide input on their work to promote coherence in building adaptation and mitigation capacities.

Conclusion

11. The EU believes that for capacity building efforts to be effective, these need to be coordinated and where appropriated integrated into programmes to mitigate or adapt to climate change in the broader context of sustainable development. More information is needed from partner countries on their needs, experiences and opportunities in order to continue to inform the consideration of how the Convention can continue to play a role to facilitate capacity building efforts. The EU and its 28 Member States remain committed to continue to work with partner countries, bilaterally and multilaterally, to enhance capacities to address climate change and participate effectively in the Convention process.

Paper no. 2A: Nauru on behalf of the Alliance of Small Island States

Submission of Nauru on behalf of the Alliance of Small Island States on views from Parties on specific thematic issues relating to capacity building under the Convention in developing countries

05 March 2014

Nauru on behalf of the Alliance of Small Island States, a group of 43 islands and low lying coastal countries that are most vulnerable to the negative impacts of Climate Change, welcomes this opportunity to present its views on Capacity Building under the Convention in developing countries, to be considered at the 3rd meeting of the Durban Forum on capacity-building, to be held during SBI 40, as well as their views on the organization of that meeting.

This submission is in response to the conclusion adopted at the 19th Conference of Parties to the United Nations Framework Convention on Climate Change.

Parties agreed that addressing Capacity-building under the Convention in developing countries is important if these countries are to effectively and successfully respond to climate change. What has not gained the consensus of Parties is the ways and means that Parties should undertake in efforts to build or enhance their human capacities so that they can undertake activities that will enable them to implement mitigation measures that will reduce their levels of greenhouse gas emissions and adaptation strategies aimed at the negative impacts of climate change.

AOSIS is of the firm view that the obligation to assist SIDS and other vulnerable countries is enshrined in the Convention, given that SIDS are the least responsible for the causes of climate change. Small Island Developing States (SIDS) do not have the requisite capacities to unilaterally develop and fund programmes that will address their needs and concerns with regard to building the required capacities to ensure that their economies and livelihoods are not adversely affected by climate change. They must look to the international community for support and it is incumbent of the international community to provide the assistance that they seek. If this is not satisfactorily addressed then the sustainable development of SIDS will be impacted in that current and potential future advances will be significantly curtailed. Without adequately addressing Capacity-building needs SIDS will always be dependent upon others to fill the gaps that exist. With that being said, many SIDS have taken steps utilizing their already limited resource base to establish climate change offices or committees, inadvertently assistance is still required to build the necessary knowledge and skills at the basic level. High turnover of personnel is also a factor for some countries, further deepening the need for a continuous capacity building programme.

The Durban Forum on Capacity-building can become instrumental in ensuring that the concerns of the SIDS can be addressed in a manner that would provide acceptable solutions to all. For the Forum to achieve the intention of the Parties it must go further than being used only as a space for dialogue. It must be complemented with a process that builds and acts on the outcomes of the Forum, rather than a talk shop.

AOSIS strongly believes that the call to further enhance Capacity-building requires an action-oriented process. Such a process, should be referred to as a work programme, that would seek to capture the cross cutting nature of Capacity-building. The process should include, but is not limited to, the following:

AOSIS strongly believes that this action-oriented process can be formulated through a 2-year work programme that will aim at achieving the following:

- Identifying the required capacities/skills for addressing challenges faced in adequately addressing actions related to mitigation and adaptation;

- Developing a template that will allow developing countries to determine what capacities they will require, building on the national capacity self-assessment process under the GEF;

- Providing a facility for understanding the outputs of the Durban Forum, which highlights best practices and key areas still to be addressed; and

- Developing a process to assist developing countries to meet their identified needs of education, training, services and awareness through facilitating the matching of resources with needs.

AOSIS is convinced that the need for such a work programme should be included in the Durban Forum for Parties to fully discuss with a view of finding solutions that will be satisfactory to all.

Paper no. 2B: Nauru on behalf of the Alliance of Small Island States

Submission of Nauru on behalf of the Alliance of Small Island States on views from Parties on specific thematic issues relating to capacity-building under the Kyoto Protocol in developing countries

05 March 2014

Nauru on behalf of the Alliance of Small Island States, a group of 43 islands and low lying coastal countries that are most vulnerable to the negative impacts of Climate Change, welcomes this opportunity to present its view on Capacity Building under the Kyoto Protocol in developing countries, to be considered at the 3rd meeting of the Durban Forum on capacity building, to be held during SBI 40, as well as their views on the organization of that meeting.

This submission is in response to the conclusion adopted at the 9th Conference of Parties serving as the Meeting of Parties to the Kyoto Protocol.

Parties agreed that addressing capacity building under the Protocol in developing countries is important if these countries are to effectively and successfully respond to climate change. What has not gained the consensus of Parties is the ways and means that Parties should undertake in their efforts to build or enhance their human capacities so that they can undertake those activities that will enable them to implement measure that will mitigate their levels of greenhouse gas emissions or to adapt to their effects.

Small Island Developing States (SIDs) do not have the capacity to unilaterally develop and fund programmes that will address their needs and concerns with regard to building the required capacities to ensure that their economies and livelihoods are not adversely affected by climate change. They must look to the international community for support and it is incumbent of the international community to provide the assistance that they seek. If this is not satisfactorily addressed then SIDs development will not be sustainable and they will be forever dependent on others to fill the gaps that exist in teams of persons with the requisite skills.

The Durban Forum on capacity building should be a solid foundation that can become instrumental in ensuring that the concerns of SIDs are addressed in a manner that would be acceptable to all. For the Forum to achieve what was the intention of the Parties it must go just a space that allows for more talk. It must be complimented by a process, which will serve to act on the outcomes of the Forum.

AOSIS firmly believes that this action-oriented process be formulated through a 2-year work programme that aims at achievements but not limited to the following:

- Identifying the required capacities/skills for addressing each problems relating to mitigation and adaptation;
- Developing a template that will allow developing countries to determine what capacities they will require; and
- Developing a process to assist developing countries to fill their needs through education, training or awareness.

AOSIS strongly believes that there is a need for such a work programme to be included in the Durban Forum for Parties to fully discuss with a view of finding a solution that will be satisfactory to all.